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PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

CERTIFICATE OF MAILING

I hereby certify that on **February 12, 2004**, which is the date I am signing this certificate, I am depositing this correspondence the United States Postal Service, first class mail, in an envelope addressed to the Commissioner of Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Ann Pommier
Ann Pommier

Applicant: Sloan, Ronald E.

Serial No.: 09/930,786

Filed: 08/15/2001

Title: FINANCIAL PORTFOLIO RISK
MANAGEMENT

Atty. Docket No.: 060021-375602

Examiner: Pwu, Jeffrey C.

Group Art Unit: 3624

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.56**

Sir:

Pursuant to 37 C.F.R. § 1.56, § 1.97 and § 1.98, Applicant brings the references listed on the attached Form PTO-1449 to the examiner's attention. 37 C.F.R. § 1.56. These references may be material to examination of the above-identified application. Please do not construe the filing of this information disclosure statement as a representation that applicant has made a search (37 C.F.R. § 1.97(g)), or as an admission that the information cited is, or is considered to be, material to patentability, or that no other material information exists. We enclose copies of the cited documents within a box herewith.

This Information Disclosure Statement is being submitted:

- ☐ 1. Within three months of the filing date of a national application other than a continued prosecution application under 37 CFR 1.53(d), or within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; or before the mailing date of a first Office action on the merits, or before the mailing of a first Office action after the filing of a request for continued examination under 37 CFR 1.114, and therefore, Applicant believes no fee is required;
- ☒ 2. After the period specified in paragraph (1) hereinabove of this section, but is being filed before the mailing date of either a final action under 37 CFR 1.113, or a notice of allowance under 37 CFR 1.311, or an action that otherwise closes prosecution in the application, and is accompanied by one of the following:
- ☐ (a) A statement that either:
- (i) Each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a coun-

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terpart foreign application not more than three months prior to the filing of the information disclosure statement;

OR

- (ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;

OR

- ☒ (b) The fee of \$180 for filing of an Information Disclosure Statement as set forth in 37 C.F.R. 1.17(p).

- ☐ 3. After the period specified in paragraph (2) of this section, but is filed on or before payment of the issue fee and is accompanied by both:

- ☐ (a) A statement that either:
- (i) Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement;

OR

- (ii) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of the information disclosure statement;

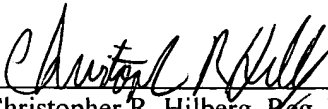
- ☐ (b) The fee of \$180.00 for filing of an Information Disclosure Statement as set forth in 37 CFR 1.17(p).

Applicant would appreciate the Examiner initialing and signing a copy of Form PTO-1449, transmitted herewith, indicating that the information has been considered and made of record herein.

In the unlikely event that the transmittal letter is separated from this document and the Patent Office determines that an extension and/or other relief is required, Applicant petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or

other fees due in connection with the filing of this document to **Deposit Account No. 50-1901** referencing order number 060021-375602.

February 12, 2004



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Substitute for form 1449A/PTO

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 3

Complete if Known

Application Number 09/930,786

Filing Date Aug-15-2001

First Named Inventor Sloan, Ronald E.

Art Unit 3624

Examiner Name Pwu, Jeffrey C.

Attorney Docket Number 60021-375602

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number		Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document
		Number	-Kind Code ² (if known)		
	1	4,822,647		04-1989	Nozaki et al.
	2	5,729,700		03-1998	Melnikoff, Meyer
	3	5,806,049		09-1998	Petruzzi, Christopher R.
	4	5,811,055		09-1998	Geiger, Michael B.
	5	5,852,811		11-1999	O'Shaughnessy, James P.
	6	5,893,079		04-1999	Cwenar, Daniel
	7	5,930,774		07-1999	Chennault, William C.
	8	5,963,925		10-1999	Kolling et al.
	9	5,978,778		11-1999	O'Shaughnessy, James P.
	10	6,064,984		05-2000	Ferguson et al.
	11	6,081,768		01-2000	Ullman et al.
	12	6,408,225		06-2002	Ortmeier et al.
	13	6,477,447		11-2002	Lin, Chi-Fa
	14	6,230,197 B1		05-2001	Beck et al.
	15	6,233,566 B1		05-2001	Levine et al.
	16	6,292,827 B1		09-2001	Raz, Uri
	17	6,317,726 B1		11-2001	O'Shaughnessy, James P.
	18	6,332,154 B2		12-2001	Beck et al.
	19	6,336,102 B1		01-2002	Luskin et al.
	20	6,370,508 B2		04-2002	Beck et al.
	21	6,513,069 B1		01-2003	Abato et al.
Examiner Signature					Date Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Complete if Known**Application Number**

09/930,786

Filing Date

Aug-15-2001

First Named Inventor

Sloan, Ronald E.

Art Unit

3624

Examiner Name

Pwu, Jeffrey C.

Attorney Docket Number

60021-375602

Sheet

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of

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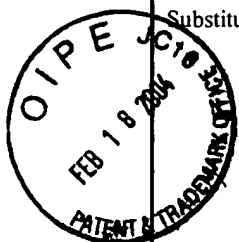
U.S. PATENT DOCUMENTS

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Application Number	09/930,786
				Filing Date	Aug-15-2001
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				Art Unit	3624
				Examiner Name	Pwu, Jeffrey C.
Sheet	3	of	3	Attorney Docket Number	60021-375602

FOREIGN PATENT DOCUMENTS					
Examiner Initials*	Cite No. ¹	Foreign Patent Document Country Code ³ -Number ⁴ -Kind Code ⁵ (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶
	24	JP410093729A	09-1996	Yoshikawa	
	25	JP2000163030A	06-2000	HITA	
	26	JP411110447A	04-1999	Kubo	
	27	JP2000355290A	12-2000	Furuta	
	28	JP408086190A	04-1996	Kotani et al.	
	29	GB 2 192 567 A	01-1998	Hiro Yoshi et al.	
OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS					
Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T ²
	30	GLENN KENNEDY et al., "Web to watch CAD companies online", from CADalyst, 09-01-2000			
	31	ROB FANJOGY, "New design software connects colleagues", from Professional Builder, 03-01-1999			
	32	OUCHI et al., "Handshake telephone system to communicate with voice and force", 1997, IEEE, pp. 466-471			
	33	SATO et al., "Measuring system for grasping", 1996, IEEE, pp. 292-297			
	34	KARLSSON et al., "A glove equipped with finger flexion sensors as command generator used in fuzzy control system", 1998, IEEE, pp. 1330-1334			
Examiner Signature				Date Considered	

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